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PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

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<h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p>		Application Number	09/715,725
		Filing Date	November 16, 2000
		First Named Inventor	LUO, YING
		Group Art Unit	1642
		Examiner Name	UNGAR, SUSAN NMN
Total Number of Pages in This Submission	6 + ref.	Attorney Docket Number	RIGL-008CIP
<b>ENCLOSURES (check all that apply)</b>			
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Form PTO/SB/08A 2. Copy of reference 3. Postcard	Remarks
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Signing Attorney/Agent (Reg. No.)	JAMES S. KEDDIE, PH.D., 48,920 BOZICEVIC, FIELD & FRANCIS LLP		
Signature			
Date	September 1, 2004		

EXPRESS MAIL LABEL NO. EV462737848US

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FEE TRANSMITTAL**  
**for FY 2004**

Effective 10/1/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180)

**Complete if Known**

Application Number **09/715,725**  
 Filing Date **November 16, 2000**  
 First Named Inventor **LUO, YING**  
 Examiner Name **UNGAR, SUSAN NMN**  
 Art Unit **1642**  
 Attorney Docket No. **RIGL-008CIP**

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:
 Deposit  
 Account  
 Number  
 Deposit  
 Account  
 Name

50-0815

Bozicevic, Field &amp; Francis LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge Any Additional Fee(s) Required under 37 C.F.R. 1.17.☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee	Fee	Fee Description
Code	Code	(\$)	(\$)	
1001	2001	770	385	Utility filing fee
1002	2002	340	170	Design filing fee
1003	2003	530	265	Plant filing fee
1004	2004	770	385	Reissue filing fee
1005	2005	160	80	Provisional filing fee

Fee Paid

SUBTOTAL (1)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	x	=
Indep. Claims	-3** =	x	=
Multiple Dependent			=

Large Entity, Small Entity

Large Entity	Small Entity	Fee	Fee	Fee Description
Code	Code	(\$)	(\$)	
1202	2202	18	9	Claims in excess of 20
1201	2201	86	43	Independent claims in excess of 3
1203	2203	290	145	Multiple dependent claim, if not paid
1204	2204	86	43	** Reissue independent claims over original patent
1205	2205	18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$

\*\*or number previously paid, if greater; For Reissues, see above.

**3. ADDITIONAL FEES**

Large Entity, Small Entity

Large Entity	Small Entity	Fee	Fee	Fee Description
Code	Code	(\$)	(\$)	
1051	2051	130	65	Surcharge - late filing fee or oath
1052	2052	50	25	Surcharge - late provisional filing fee or cover sheet
1053	2053	130	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examination action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	2251	110	55	Extension for reply within first month
1252	2252	420	210	Extension for reply within second month
1253	2253	950	475	Extension for reply within third month
1254	2254	1,480	740	Extension for reply within fourth month
1255	2,010	2255	1,005	Extension for reply within fifth month
1401	2401	330	165	Notice of Appeal
1402	2402	330	165	Filing a brief in support of an appeal
1403	2403	290	145	Request for oral hearing
1451	2451	1,510	1,510	Petition to institute a public use proceeding
1452	2452	110	55	Petition to revive - unavoidable
1453	2453	1,330	665	Petition to revive - unintentional
1501	2501	1,330	665	Utility issue fee (or reissue)
1502	2502	480	240	Design issue fee
1503	2503	640	320	Plant issue fee
1406	2406	130	130	Petitions to the Commissioner
1807	2807	50	50	Processing fee under 37 CFR 1.17(q)
1806	2806	180	180	Submission of Information Disclosure Stmt
8021	2021	40	40	Recording each patent assignment per property (times number of properties)
1809	2809	770	385	Filing a submission after final rejection (37 CFR § 1.129(a))
1810	2810	770	385	For each additional invention to be examined (37 CFR § 1.129(b))
1801	2801	770	385	Request for Continued Examination (RCE)
1802	2802	900	900	Request for expedited examination of a design application

Fee Paid

180

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

180

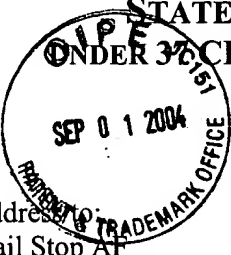
**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	James S. Kedde, Ph.D.	Registration No. (Attorney/Agent)	48,920	Telephone	(650) 833-7723
Signature	<i>James S. Kedde</i>	Date	09/01/2004		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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<b>INFORMATION DISCLOSURE STATEMENT</b> <b>UNDER 37 CFR § 1.97(D)</b>  Address to: Mail Stop AT Commissioner for Patents P.O. Box 1450	Attorney Docket	RIGL-008CIP
	First Named Inventor	LUO, YING
	Application Number	09/715,725
	Filing Date	November 16, 2000
	Group Art Unit	1642
	Examiner Name	UNGAR, SUSAN NMN
	Title:	<i>"NOVEL IAPS ASSOCIATED CELL CYCLE PROTEINS, COMPOSITIONS AND METHODS OF USE"</i>

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. This is being filed after a Final Action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee.

A Form SB08 (substitute for form 1449) listing the references accompanies this paper. Applicants would appreciate the Examiner initialing and returning the form to indicate that the references have been reviewed and made of record.

**Statement(s) under 37 CFR § 1.97(e):**

- ☒ (1) That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
- ☐ (2) That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

09/07/2004 EAREGAY1 00000068 500815 09715725

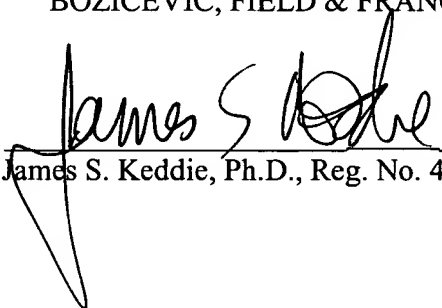
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In accordance with the requirements of 37 C.F.R. §1.97(d) accompanying this paper is a certification as specified in 37 C.F.R. §1.97(e). Applicant(s) hereby petition for the consideration of this Information Disclosure Statement.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) to cover the petition accompanies this disclosure statement. The Office is hereby authorized to charge any additional fees which may be required by this paper or any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21, or to credit any overpayment, to our Deposit Account No. 50-0815, Order No. «REFERENCE» may be charged thereon.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: September 1, 2004

By:   
James S. Keddie, Ph.D., Reg. No. 48,920

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PTO/SB/08a (05-03)

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				<b>Application Number</b>	09/715,725
				<b>Filing Date</b>	November 16, 2000
				<b>First Named Inventor</b>	LUO, YING
				<b>Art Unit</b>	1642
				<b>Examiner Name</b>	UNGAR, SUSAN NMN
<b>Sheet</b>	1	of	1	<b>Attorney Docket Number</b>	RIGL-008CIP

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US-				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)					

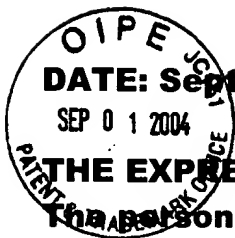
OTHER ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		<b>LISTON et al., SUPPRESSION OF APOPTOSIS IN MAMMALIAN CELLS BY NAIP AND A RELATED FAMILY OF IAP GENES, Nature, 1996, 379(6563): 349-53 (abstract only)</b>	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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DATE: September 1, 2004

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Date of Deposit: 09/01/2004 I hereby certify that the below-listed papers or fees were inserted into a package addressed to: Commissioner for Patents, PO BOX 1450, Alexandria, Virginia 22313-1450 and was deposited by me with the United States Postal Service "Express Mail Post Office Addressee" service under 37 C.F.R. § 1.10 on the date indicated above.

Signature

*Stuart McLeish*

Date

*9/1/04*

Atty. Docket No.	Serial Number	Description	Atty.	Fee
RIGL-008CIP2	10/130,555	Transmittal, IDS, SB08A, (1) Cited Reference	JSK	
RIGL-008CIP	09/715,725	Transmittal, Fee Sheet <i>in duplicate</i> , IDS, SB08A, (1) Cited Reference	JSK	\$180
UCSF-127CON2	10/728,122	Transmittal, Fee Sheet <i>in duplicate</i> , Copy of Notice to File Missing Parts	PJS	\$504
AGYT-017CIP	10/246,837	Amendment	PJS	
STAN-096DIV2	10/340,101	Amendment After Final Rejection	PJS	
UCAL-230	10/025,966	Transmittal, Petition for a 3 Month Extension of Time <i>in duplicate</i>	PAB	\$475
UCAL-154CIP5	10/629,313	Transmittal, IDS, SB08A, (4) Cited References	CLF	
VITA-014	10/847,818	Transmittal, Fee Sheet <i>in duplicate</i> , Copy of Notice to File Missing Parts, Executed Declaration	JSK	\$65
RIGL-002CON	09/651,150	Transmittal, Petition for a 1 Month Extension of Time <i>in duplicate</i> , Amendment	JSK	\$55
REDL-008	10/882,993	IDS, SB08A, (4) Cited References	BEF	
EURE-001	10/845,366	IDS, SB08A, (5) Cited References	BEF	